

TRANSMITTAL FORM

Application Serial Number	10/541,304
Filing Date	July 1, 2005
First Named Inventor	Beliveau
Group Art Unit	1615
Examiner Name	Not yet assigned
Attorney Docket No.	BKP-024
Patent No.	Not applicable
Issue Date	Not applicable

ENCLOSURES (check all that apply)

- | | | |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form
<input type="checkbox"/> Check Attached
<input type="checkbox"/> Copy of Fee Transmittal Form

<input type="checkbox"/> Amendment/Response
<input type="checkbox"/> Preliminary
<input type="checkbox"/> After Final
<input type="checkbox"/> Affidavits/declaration(s)
<input type="checkbox"/> Letter to Official Draftsperson
including Drawings
[Total Sheets ____]

<input type="checkbox"/> Petition for Extension of Time

<input checked="" type="checkbox"/> Information Disclosure Statement (2 pgs.)
<input checked="" type="checkbox"/> Form PTO-1449 (1 pg.)
<input checked="" type="checkbox"/> Copies of IDS Citations (B1-B4; C1-C3)

<input type="checkbox"/> Certified Copy of Priority Document(s)

<input type="checkbox"/> Sequence Listing submission
<input type="checkbox"/> Paper Copy/CD
<input type="checkbox"/> Computer Readable Copy
<input type="checkbox"/> Statement verifying identity of above | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application

<input type="checkbox"/> Formal Drawing(s)

<input type="checkbox"/> Request For Continued Examination (RCE) Transmittal

<input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)

<input type="checkbox"/> Terminal Disclaimer

<input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application

<input type="checkbox"/> Small Entity Statement

<input type="checkbox"/> CD(s) for large table or computer program

<input type="checkbox"/> Amendment After Allowance

<input type="checkbox"/> Request for Certificate of Correction
<input type="checkbox"/> Certificate of Correction (in duplicate) | <input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences

<input type="checkbox"/> Appeal Brief (in triplicate)

<input type="checkbox"/> Status Inquiry

<input checked="" type="checkbox"/> Return Receipt Postcard

<input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8

<input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8

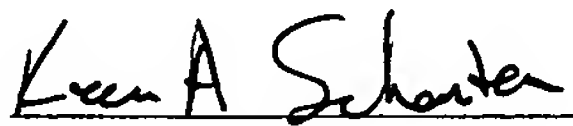
<input type="checkbox"/> Additional Enclosure(s) (please identify below) |
|--|---|---|

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SIGNATURE BLOCK

Respectfully submitted,


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Date: January 25, 2007
Reg. No. 58,343
Tel. No.: (617) 261-3216
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PATENT
Attorney Docket No. BKP-024

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Beliveau et al. CONFIRMATION NO.: 8132
SERIAL NO.: 10/541,304 GROUP NO.: 1615
FILING DATE: July 1, 2005 EXAMINER: Not yet assigned
TITLE: A Method for Transporting a Compound Across the Blood-Brain Barrier

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the non-U.S. patent documents and non-patent publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) above but before the mailing date of any of a **final action** under 37 C.F.R. 1.113, a **notice of allowance** under 37 C.F.R. 1.311, or an action that otherwise closes prosecution in the application, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein; or

- ☐ (3) after the period defined in (2) above but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT

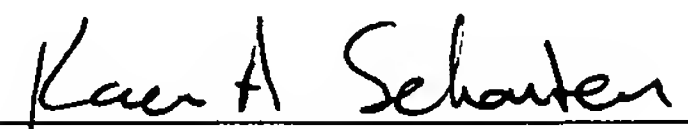
As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

Date: January 25, 2007
Reg. No. 58,343

Tel. No.: (617) 261-3216
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FORM PTO - 1449 INFORMATION DISCLOSURE STATEMENT				ATTORNEY DOCKET NO.: BKP-024 APPLICANT(S): Beliveau SERIAL NO.: 10/541,304 FILING DATE: July 1, 2005 GROUP NO.: 1615					
U.S. PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE		
	A1	5,118,668	06/02/92	Auerswald et al.					
	A2	5,780,265	07/14/98	Dennis et al.					
	A3	5,807,980	09/15/98	Lasters et al.					
FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B1	WO 04/60403	07/22/04	PCT	A61K	47/48	01/05/04		Y
	B2	WO 97/33996	09/18/97	PCT	C12N	15/15	03/10/97		Y
	B3	WO 96/35788	11/14/96	PCT	C12N	15/15	05/08/96		Y
	B4	0 393 431	04/05/90	EP	C07K	7/10	10/24/90		N
OTHER ART, JOURNAL ARTICLES, ETC.									
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
	C1	Dagenais <i>et al.</i> , "Development of an <i>In Situ</i> Mouse Brain Perfusion Model and Its Application to <i>mdr1a</i> P-Glycoprotein-Deficient Mice", <u>Journal of Cerebral Blood Flow & Metabolism</u> , Vol. 20(2):381-386, February 2000.							
	C2	Dehouck <i>et al.</i> , "An Easier, Reproducible, and Mass-Production Method to Study the Blood-Brain Barrier In Vitro", <u>Journal of Neurochemistry</u> , 54:1798-1801, (1990)							
	C3	Laccabue <i>et al.</i> , "A Novel Taxane Active against an Orthotopically Growing Human Glioma Xenograft", <u>Cancer</u> , 92(12):3085-3092, (2001).							
EXAMINER					DATE CONSIDERED				



PATENT
Attorney Docket No. BKP-024

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Beliveau et al. CONFIRMATION NO.: 8132
SERIAL NO.: 10/541,304 GROUP NO.: 1615
FILING DATE: July 1, 2005 EXAMINER: Not yet assigned
TITLE: A Method for Transporting a Compound Across the Blood-Brain Barrier

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 25th day of January, 2007.


Lori Calnan

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith is/are:

- Transmittal Form (1 pg.);
- Information Disclosure Statement (2 pgs.);
- Form PTO-1449 (1 pg.);
- Copies of IDS Citations (B1-B4; C1-C3);
- Certificate of First Class Mailing (1 pg.); and
- Return Receipt Postcard.